CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: JAGR/OTP

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** ZO09010380   **DATE OF SITE VISIT:** MAY 19,2010

2. **GRANT PERIOD:** 10/01/09 TO 03/31/11

3. **RECIPIENT/IMPLEMENTING AGENCY:**
   SAN FRANCISCO COUNTY/ DEPARTMENT OF PUBLIC HEALTH

4. **PROJECT DIRECTOR:**
   CRAIG MURDOCK

PERSONS INTERVIEWED DURING SITE VISIT:

NAME	TITLE	AGENCY
CRAIG MURDOCK	PROJECT DIRECTOR	DEPT OF PUBLIC HEALTH
JOHN FORDHAM	ROUTINE PROG	SAME
TRISTAN LEVARDO	FINANCIAL OFFICER	SAME
ELIZABETH WOO	SR SYSTEM ACCT	SAME

_____   _____   _____   _____
Signature of Program Specialist   Date   Signature of Section Chief   Date

_____   _____
Signature of Project Representative   Date

2/18/2010

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PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

	YES	NO	N/A

1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

	YES	NO	N/A
• The Cal EMA Recipient Handbook (R.H.)	☑	☐	☐
• The Approved Grant Award Agreement	☑	☐	☐
• The RFA/RFP (supersedes the requirement of the R.H.)	☑	☐	☐
• The Program Guidelines (supersedes the requirement of the R.H.)	☑	☐	☐
• Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.	☑	☐	☐

Comments:

_____

_____

2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

	YES	NO	N/A
• Obtain copy of required Fidelity Bond Certificate? *[R.H. Section 2161]* Does <u>not</u> apply to state, city, or county units of government.	☐	☐	☑
• Does the certificate show:			
o Bonding company's name	☐	☐	☑
o Bond number	☐	☐	☑
o Description of coverage	☐	☐	☑
o Amount of coverage (50% of allocation)	☐	☐	☑
o Bond period	☐	☐	☑
o Grant award number	☐	☐	☑
o Form A, Employee Dishonesty	☐	☐	☑
o Form B, Forgery Coverage	☐	☐	☑
o Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?	☐	☐	☑

Comments:

_____

_____

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (*R.H. Section 2153*)

	YES	NO	N/A
• Does the project have its CEQA documentation on file?(Ask to view)	☐	☐	☑
o Certified Exempt	☐	☐	☑
o Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.	☐	☐	☑

Comments:

_____

_____

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A

4. PROOF OF AUTHORITY (*R.H. Section 1350*)

	YES	NO	N/A
• Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)	☑	☐	☐

Comments:
COPY DATED MARCH 23, 2010-NO CHANGES.

5. ORGANIZATIONAL CHART

	YES	NO	N/A
• Review the organizational chart. Are all budgeted positions identified?	☑	☐	☐

Comments:
no changes

6. Cal EMA MODIFICATION (Cal EMA 2-223)

	YES	NO	N/A
• Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). [*R. H. Section 7500*] (*Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.*) A modification is needed for the following:	☑	☐	☐

    o Budget changes
    o Change in key personnel
    o Adding/changing additional signers
    o Change goals/objectives, or activities
    o Address change
    o Other

Comments:

7. PERSONNEL POLICIES

	YES	NO	N/A
• Does the project staff have access to written personnel policies as required? [*R. H. Section 2130*]	☑	☐	☐
• Do the personnel policies include:			
o Work hours	☑	☐	☐
o Compensation rates including overtime and benefits	☑	☐	☐
o Vacation, sick, and other leave allowances	☑	☐	☐
o Hiring and promotional policies	☑	☐	☐

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
    - Staff note: Complete a sample review of a personnel file
    - Job application   ☑ ☐ ☐
    - Resume   ☑ ☐ ☐
    - Performance evaluations   ☑ ☐ ☐
    - Salary rates   ☑ ☐ ☐
    - Benefits   ☑ ☐ ☐
    - Current job duties/descriptions   ☑ ☐ ☐
    - Other terms of employment   ☑ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? *[R. H. Section 2152]*   ☑ ☐ ☐
- Did the Board approve the agency's existing personnel policy?   ☑ ☐ ☐

Comments:
_____
_____

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? *[R. H. Section 11331]*   ☑ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.)   ☑ ☐ ☐

Comments:
Uses a LABOR DISTRIBUTION DATA SYSTEM FOR JAGR OTP FUNDED POSITIONS
_____

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction?   ☑ ☐ ☐
    - Name of individual who approves purchases.
      NO PURCHASES ON THIS GRANT
    - Name of individual who writes checks.
      COUNTY CONTROLLER
    - Name of individual(s) who signs checks.
      COUNTY CONTROLLER

Comments:
_____
_____

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A

10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

	YES	NO	N/A
• Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)?	✓	☐	☐
• Does the project maintain an accurate inventory log of equipment purchased with grant funds?	☐	☐	✓

Comments:

Personnel funded are by labor cost report data system and the subcontractors time are tracked by invoices.

11. PROJECT EXPENDITURES

	YES	NO	N/A
• Is the project's expenditure rate commensurate with the elapsed period of the grant?	✓	☐	☐
• Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement?	✓	☐	☐
• Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)?	☐	✓	☐
• Is the project up-to-date with the submission of Cal EMA Form 2-201?	✓	☐	☐

Comments:

12. MATCH REQUIREMENTS

	YES	NO	N/A
• Does the project have a match requirement?	☐	☐	✓
• Is the project meeting the match requirement?	☐	☐	✓
• Review the supporting documentation to substantiate cash or in-kind match.	☐	☐	✓

Comments:

13. EEO POLICY

	YES	NO	N/A
• Go over EEO checklist. (Separate document)	✓	☐	☐

Comments:

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)			
GENERAL	YES	NO	N/A

14. PROGRAM GOALS AND OBJECTIVES

	YES	NO	N/A
• Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?	☑	☐	☐
• Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?	☐	☑	☐

Comments:

No changes in objectives and goals. Modification will not be made to grant objectives.

15. PROGRESS REPORT

	YES	NO	N/A
• Discuss and review the programmatic Progress Report requirements.	☑	☐	☐

Comments:

16. SOURCE DOCUMENTATION-Programmatic

	YES	NO	N/A
• Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?	☑	☐	☐
• Review the project's file system and data collection process.			

Comments:

Project uses program base and county INSYST system for data collection. For billing, project uses BIS system.

17. OPERATIONAL AGREEMENTS

	YES	NO	N/A
• Does the project have current Operational Agreements as required by the Grant Award Agreement?	☑	☐	☐

Comments:
Copy in file--no changes.

18. PROJECT STAFF DUTIES

	YES	NO	N/A
• Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?	☑	☐	☐

Comments:

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ADDENDUM TO SITE VISIT REPORT

Met with four project staff representing San Francisco's Department of Public Health.

I conducted an administrative review on all documents which did not pose a challenge to the project. A review of the project's Program Summary remains the same.

Project staff seem very efficient in understanding CalEMA and JAGR/OTP grant guidelines. I reviewed their recent 201 Report of Expenditures. A couple of errors were found and corrected on their copy. I explained to them that our Accounting department may send back a "Notice of Dispute" due to the minor errors. Emphasis was made that correct information is needed and required by the Accounting department despite how small the mistake is.

Source documentation is maintained by several data bases that store all information relative to data collection, progress reporting and financial reporting. This information is retrieved and reported for each required jobs data report and also will be available for their JAG PMT reporting that the grant mandates. The staff indicated that the email reminders for the OMB Jobs Data Collection were very helpful.

Project Director gave me a presentation of their program as well as background information as it relates to their goals and objectives. I was able to be introduced to a few of the clinicians and case managers that were present. Possiblity of future visit to an actual treatment facility may take place soon.

San Francisco's Department of Public Health grant is in compliance with the Offender Treatment Program, the RFA, the program guidelines, and the Recipient Handbook.

No findings to report.